U.S. DEPARTMENT OF ENERGY

OFFICE OF NUCLEAR ENERGY, SCIENCE AND TECHNOLOGY

DOE/INDUSTRY MATCHING GRANT PROGRAM APPLICATION GUIDELINES

ACADEMIC YEAR 2001-02

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INTRODUCTION

The DOE/Industry Matching Grant Program, which began in 1992, is designed to encourage collaborative support for nuclear engineering education and research between the nation's nuclear industry and the U.S. Department of Energy. Over the past two decades nuclear engineering programs in the United States have witnessed a serious decline in student enrollments, number of faculty members and support from their host universities. Despite this decline, the discipline of nuclear engineering remains important to the advancement of the mission goals of the U.S. Department of Energy. These academic programs are also critically important in maintaining a viable workforce for the nation's nuclear industry. As conceived by Commonwealth Edison, this program has focused on creating a partnership between DOE and private sector businesses, which employ nuclear engineers. The program is designed to ensure that academic programs in nuclear engineering are maintained and enhanced in universities throughout the United States.

The support for the program, which is currently set at \$60,000 per year contribution from DOE and \$60,000 from the private sector for a \$120,000 annual total per institution, is typically used to support the development of undergraduate and graduate curriculum, undergraduate scholarships, graduate traineeships, faculty development, research awards in nuclear power technologies, and for improvements in the instrumentation and equipment used by nuclear engineering academic programs. Students are frequently involved in internships at the sponsoring nuclear companies and nuclear industry personnel become familiar faces at the nuclear engineering programs. A Status Report on the program, which was published in March 1997, noted that the program "has had a major impact in improving the educational infrastructure for supplying nuclear engineers and has allowed departments to enhance the quality of their programs."

This booklet is designed to provide information and application forms for the DOE/Industry Matching Grant Program. DOE is interested in receiving as many applications as possible. These applications will be reviewed by a panel of experts familiar with issues related to nuclear engineering education. The number of awards provided is limited to the amount of funds, which are appropriated, on an annual basis.

GENERAL INFORMATION, PROCEDURES AND RULES

Institutional Eligibility

To apply for a Matching Grant, the university must offer either a degree, a degree option-track, or a sufficient number of courses in nuclear engineering, which can be

certified in writing by the sponsoring private sector organization that the coursework at the applying university is sufficient to warrant their participation in the program. Eligibility is restricted to accredited universities in the United States.

<u>Indirect Charges</u>

Since the funding in this program is limited and is directed toward the payment of student and faculty expenses and curriculum development, DOE requests that the indirect charges from the university not be greater than 10% of the total budget for this program. Fringe benefits, which are typically are part of faculty salaries and student stipends, may exceed the 10% request on indirect charges.

Application Procedures

This program uses the enclosed "Application for Federal Assistance". Budget information for the applying year is also requested and a detailed explanation on how the program funds are to be used is required to complete the application. Four copies and the original application must be sent to the following address and be received at this address no later than January 22, 2001.

University-Laboratory Associates P.O. Box 1067 Norris, TN 37828

Questions regarding the application procedures can be mailed to the following:

Craig Williamson University-Laboratory Associates P.O. Box 1067 Norris, TN 37828

cwilliamson@msn.com.

Direct telephone inquiries will be answered at:

Number 865 494-7069 Number (fax) 865 494-6301

Incomplete applications that are received after the deadline will not be reviewed and will be returned to the applicant. All applications that are complete and received before the deadline will receive notice that the application was received and will be reviewed in a specified timeframe. Attachments to the application, including letters of support, may be received after the deadline.

Rules Governing the Application and Review Process

It is expected that the "matching" part of this grant should not be an "in-kind" match. Applicants must indicate that the support received from the utility is a commitment of cash expenditure up to \$60,000 a year. Smaller amounts are acceptable and, in some cases may be more readily funded, depending on the availability of funds in the program. In some cases, in-kind matches by private sponsors will receive a value less than a full match. The review panel will recommend this value.

Parties interested and knowledgeable about nuclear engineering education in the United States will review applications to this program. Reviewers will come from universities, national laboratories, utilities, private industry and government. They will be asked to provide written comment regarding their evaluations. If requested, these comments can be provided to the applicant. However, the reviewers' names are considered confidential.

At times when the requested funds exceeds the amount of available funding, the applications will be rank-ordered and funding will be made based on this ranking. The criteria used by the reviewers in this rank is as follows:

- 1. The contribution from the private sponsor (s) is a real financial commitment.
- 2. The program expenditures are targeted toward infrastructure development. This includes commitments to student recruitment and retention, faculty development, and facility enhancements.
- 3. The program presents innovate methods for infrastructure development including the recruitment of minority students and faculty members.
- 4. The program expresses a true partnership between the university and the private sponsor(s). Measures are being put into place, which includes student traineeships nuclear industry locations and the utilization of private sector personnel in the academic program.
- 5. The program appears to have long-term implications and avoids what might be considered a "quick fix".

FINANCIAL ARRANGEMENTS

Duration of the Award

Each award is provided for one-year, with the awardee remaining eligible for funding in subsequent years. This continuation of the award is based on the successes of the program, which have been documented in the Annual Evaluation (see following section). (Note: Since funding and the initiation of the program may be one year behind the funding cycle, evaluation of the programs successes may be one-year behind the date of the award.) If the applicant/awardee wishes to continue for another year then it is necessary to complete an "Application for Federal Assistance" by the

appropriate deadline date. It is considered appropriate that "continuing awards" note the effectiveness of the program and express how the established program will be enhanced through the continuation of the award.

Award Distribution

DOE provides all awards to the university on or by September 30th of each year. Prior to this distribution DOE must receive written certified notice that the university has received its matching grant from the sponsoring private organization(s). This certification must be mailed to the cognizant DOE official, whose address is given in the award letter to the university. DOE reserves the right to withhold funds from the university if conditions of the grant have not been met by the university or by the sponsoring industry.

REPORTING REQUIREMENTS

Periodic Reporting

On occasion DOE may require the university to provide brief reports on the program. This will typically include a list of the number of students involved, and how the funds have had an impact on their academic program etc. Periodic reports may also require a description of curriculum enhancements, faculty involvement with the utilities and utility involvement with the university. These reports are often requested from officials within DOE and/or Congress.

Annual Evaluation Report

Enclosure 2 to this booklet includes a format for the annual evaluation. It is expected that the university complete this form and send it to DOE by the published deadline. An electronic copy of this report may be requested from cwilliamson@msn.com Program funds may be withheld and all future funding suspended if these evaluation reports are not completed and submitted in a timely fashion.

APPLICATION PREPARATION

(Procedures for submitting the application are described in a previous section)

The "Application for Federal Assistance" which is included in this booklet as Enclosure 1, may also be sent to the prospective applicant electronically. If an electronic copy is desired please make this request to cwilliamson@msn.com. This application has nine sections, which are as follows:

- 1. Application Cover Page and Authorizing Signatures
- 2. Budget Information from DOE to the University
- 3. Budget Information from the Industrial Sponsor
- 4. Certification from the Industrial Sponsor
- 5. Combined Budgets
- 6. Assurance of Compliance, Nondiscrimination in Federally Assisted Programs
- 7. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- 8. Title Page and Signatures and Addresses of Applicants
- 9. Application Description

The Application Cover Page and Authorizing Signatures requires the name and address of the Principal Investigator (PI). The PI must be an individual in the academic program, who has the ability to make decisions regarding the program budgets, format and activities. This individual will be the point of contact for DOE. This page also requires the signature of the authorizing official for the university. This person must have the authority within the university to commit and be responsible for program funds.

The *Budget Information* page lists how the DOE funds will be used by category. The funds listed on this page must not exceed \$60,000 and represents annual expenditures. The information provided on this page must be consistent with the information provided on Form 4 "Combined Budgets".

The *Budget Information from the Industrial Sponsor(s)* (non-federal sources) provides details on how the utility funds will be expended. It is not a requirement that the utility funds be spent in the same fashion, as the DOE funding, however, funds do need to equal the amount being requested from DOE.

The *Certification from the Industrial Sponsor* Form is an indication of the commitment from the utility regarding the funds they expect to spend on the program. An official from the utility who has the authority to commit these funds must sign this form.

The *Combined Budget* Form shows how the entire annual budget is to be expended. This form requests specific details on these expenditures. For example, the percentage of faculty salaries, the name of the faculty member etc. must be included on the form. Information on the number, kind and percentage of time for students is also requested. Funds to be spent on equipment and curriculum enhancements must also be noted. Examples of each category of expenditure are provided on the form.

Assurance of Compliance, Nondiscrimination in Federally Assisted Programs Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements is a required DOE form, which specifies that the awardee and its subcontractors comply with all federal regulations regarding nondiscrimination in using federal assistance funding.

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and a Drug-Free Workplace Requirements is another federally mandated form linked to all federal assistance grants, which requires the signature of an authorizing university official.

The *Title Page and Signatures and Addresses of Applicants* provides the name of the applying university, dates of the award, the signature of the Principal Investigator, Department Head and the University Sponsored Programs Office. The address, phone number, facsimile number and email address for the cognizant university contract official is also requested on the Title page.

The Application Description, which is limited to 8 pages at a 12 point font, should provide the following details: An Introduction; A Brief Overview of the Program; A Progress Report (continuation awards, only), which notes how the program will continue to be enhanced; Additional Budget Explanation; Detailed Description of the Program noting interactions with the utility (s), notes on student recruitment, curriculum enhancement, research etc.; and a conclusion which notes problems encountered how these problems will be resolved and suggestions to DOE regarding how the program and can be improved.

Submission of Applications

Completed Applications must be received at the following address no later than January 22, 2001. Faxed or electronic applications will not be accepted.

Craig Williamson University-Laboratory Associates P.O. Box 1067 Norris, TN 37828